# Table of Contents

1. Navigating IBISResearch .................................................................4  
1.1. How to Access a Record .............................................................5  
1.2. How to Search ...........................................................................5  
2. How to Manage Proposal Submission ...........................................6  
2.1 How to Create A Proposal .......................................................6  
2.2 How to Complete a Budget .......................................................11  
2.3 How to Create An Additional Budget .......................................20  
2.4. How to Create A Cost Share Budget .......................................20  
2.5 How to Create a Subaward Budget .........................................21  
2.5.1. Using the Import Subaward Activity ....................................23  
3. How to Manage Ancillary Reviews .............................................29  
3.1. How to Add Ancillary Reviewers .............................................29  
3.1.2. Managing and Adding an Ancillary Review: (Follow diagram) .29  
3.2. How to Submit an Ancillary Review (Ancillary Reviewers Only) .31  
4. How to Update the Proposal with Sponsor Determination ..........32  
5. Additional Proposal Tasks ..........................................................33  
5.1. How to Manage deliverables ...................................................33  
5.2. How to Manage Relationships (linking records in IBISResearch) .34  
5.3. How to Manage Tabs ...............................................................34  
5.4. How to Export the Budget .......................................................35  
5.5. How to Send an Email ..............................................................35  
5.6. How to Add Attachments to a Proposal ...................................36  
5.7. How to Manage the Guest List ...............................................37  
5.8. How to Add a Comment ..........................................................37  
5.9. How to Copy a Proposal ..........................................................38  
5.10. How to Respond to Change Request ......................................38  
5.11. How to Respond to a JIT Request ..........................................40
6. How to Complete Award Department Edits ......................................... 40
   6.1. Budget Reconciliation Example Using the Import Approach .......... 44
   6.2. Budget Reconciliation Examples Using the Non-Import Approach ... 47

7. How to Upload Award Documents ...................................................... 48
   7.1. How to Request An Award Modification .................................... 49
   7.2. How to Complete Department Edits For an Award Modification ... 50

8. How to Manage Deliverables ............................................................ 51
   8.1. How to Add a Deliverable .......................................................... 51
   8.1.2. How to Edit and Complete A Deliverable ................................ 52

9. How to Manage Pre-Proposal ............................................................ 55

10. How to Manage Follow-On Proposal Types ..................................... 55
    10.1. How to Create a Noncompeting Continuation Proposal from An Active Award 55
    10.1.2. How to Create a Renewal Proposal ........................................ 56
    10.1.3. How To Create A Competing Revision To A Proposal ............... 56
    10.1.4. How Create A Resubmission Proposal ................................... 57

11. How to Create an Agreement from a Proposal ............................... 57

12. Appendix .......................................................................................... 59
    12.1 Understanding the Workflows .................................................... 59
    12.2. System-to-System Submissions through Grants.gov Workflow .. 60
    12.3. Award Workflow ..................................................................... 61
    12.3.1. Award Modification Request and Award Modification Workflows 62

13. Understanding Email Notifications .................................................. 63
    13.1. Proposal Email Notifications ................................................... 63
    13.2. Award Email Notifications ....................................................... 64
        State transition from “Draft” to “Department Edit” 64
    13.3. Award Modification Request Email Notifications .................... 65
    13.3.1. Award Modification Email Notifications ............................... 65
    13.4. Subaward Email Notifications .................................................. 66
1. Navigating IBISResearch
This guide describes how the Research Community (PIs, Department Administrators, project team members, etc.) will interact with the IBISResearch system by creating and managing proposal submissions.

**Tip:** See the “Introduction to IBISResearch” reference guide in the Help Center for general information on navigation, user roles, searching, and workflow.

For reference, below is the workflow of a Proposal by State:
1.1. How to Access a Record

When you first log in to IBISResearch, you will be on your Dashboard, which is the starting point for finding items and performing many basic tasks.

After logging in to the IBISResearch system, you are able to access and view records you have permission to see. You can locate or search for records on the My Inbox or Grants Project Listing pages. You can also quickly access records you have Recently Viewed on the left of the screen.

- **My Inbox page** – This page acts as your to-do list and contains records (Proposals, Awards, etc.) from the Grants and Agreements modules that require an action from you. To access a record, click on the ID or Name link.

- **Grants Project Listing page** – All records you have permission to see can be found on this page. To access a record click on the ID or Name link.

- **My Reviews** – Contains items assigned to you to review. These are a subset of the items in My Inbox.

**Recently Viewed** – Records you have recently accessed are quickly located from the Recently Viewed section located on the left. To access the record click on the link.

1.2. How to Search

Use the Filter by fields to search for a record by various information (e.g., ID, Name, State, etc.)

Click the HELP text icon for more information about search options. The most common searches are:

- Search for key words – use the wild card feature by entering a “%” sign before the key word. In the example below, the user searched for “MVM” in the Name.

- Search by State – You may also use the tabs to search by proposals in Draft, Internal Review, Sponsor Review, Awarded or Completed state.
• Sorting – You may also sort your criteria by ID, Name, State, Primary Sponsor, Submission Type, Sponsor ID, Specialist, and Submitting Department.

<table>
<thead>
<tr>
<th>Proposals</th>
<th>Draft</th>
<th>Internal Review</th>
<th>Sponsor Review</th>
<th>Awared</th>
<th>Completed</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID</td>
<td>Name</td>
<td>State</td>
<td>Primary Sponsor</td>
<td>Submission Type</td>
<td>Sponsor Award ID</td>
</tr>
<tr>
<td>FY00000000</td>
<td>Demo Proposal 4 - JLV</td>
<td>5/24/2023</td>
<td>National Institutes of Health</td>
<td>Funding Submission</td>
<td>AWARD12345</td>
</tr>
<tr>
<td>5 items</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

### 2. How to Manage Proposal Submission

Proposal submission to the Office of Research Administration consists of creating a proposal, completing a primary budget, creating additional budgets as necessary, (cost share, subawards, etc.), managing SF424 submissions (for federal proposals being submitted through Grants.gov, called System-to-System or S2S proposals), and submitting the proposal package for Department Review.

The sections below provide step-by-step instructions on how to complete these tasks.

#### 2.1 How to Create A Proposal

Creating a proposal consists of completing the Proposal SmartForm, which is a series of pages where you will answer questions about the proposal. For federal opportunities, many of the answers to these questions will populate on the SF424 form. Follow the steps below to create a proposal:

1. On the My Inbox or Grants Project Listing page, click the **Create Funding Proposal** button.
2. Complete the Proposal SmartForm pages. The subsections below walk you through each of the pages. When finished with each page, click Continue to navigate through the rest of the SmartForm Pages.

   **Tip:** Click on the Help icons throughout the SmartForms for additional information on how to answer the questions.

   a. **General Proposal Information page:**
   
   1. **Type of application:** Defaults to NEW for new proposals.
   1a. **Is the award being transferred from another institution?** This defaults to No. Answer Yes, if applicable.
   2. **Short title of proposal:** Enter a descriptive name for the proposal (50 character maximum). The short title identifies the proposal throughout the system, such as the IBISResearch Inbox, Grants page and in reports.
   3. **Long Title of Proposal:** If this will be an SF424 application, this title will display on the SF424 forms (255 character maximum).
   4. **Program Director/Principal Investigator/ Project Lead/Fellow:** Enter or search for the PI's name. *Names in IBISResearch are brought in from Workday.*

   **In the rare instance, that the Principal Investigator is not in the list, pick the Chairperson as the Principal Investigator. Once the faculty member is hired the individual should be present in the Workday feed and can be selected as the PI for the award. For more information, contact the Specialist listed on the Funding Proposal.*

   **Note:** View the University of Miami PI Eligibility Policy.

   5. **Select the Direct Sponsor:** Enter the sponsor’s name or search for key words using the wild card feature (“%”). The Direct Sponsor is the organization that is directly funding the project.
   
   o If the sponsor’s name is not listed, type the sponsor’s name in Question 5a. The Office of Research Administration will research the sponsor and update the Funding Proposal to reflect the sponsor from the pick list.
• If this will be flow through, select the prime sponsor in Question in 5 b. The prime sponsor is the original funding sponsor.

5. * Select the direct sponsor:
   a. If the direct sponsor is not listed, type their name here:
   b. If this will be a flow-through, select prime sponsor:

6. Instrument type: Select whether the proposal will be a Grant, Contract, Cooperative Agreement or Subaward. If unknown, you can leave blank.

7. Select the appropriate F&A rate type: Select the appropriate F&A rate type. Visit the ORA website for guidance with F&A rates.

8. Expected start date: Enter the expected start date of the project.

Click Continue to move forward to the next page of the SmartForm.

b. Personnel page.

1. Program Director/Principal Investigator/Project Lead/Fellow – This field contains the name of selected PI on the prior page. Under 1b, you may upload the Biosketch. If the funding proposal is federal S2S, the biosketch will feed to the SF424 form. Do not upload Other Support unless directed to do so by the sponsor instructions.

2. Responsible Department – Select the UM organizational unit responsible, which may or may not be the same as the PI’s home department. Please ensure the responsible department is selected correctly.

3. Project Personnel – Enter other institutional key, non-key, or other significant contributor personnel in Question 3a and enter non-institutional key personnel in Question 3b. For example, the Subaward PI is considered key personnel, but is not a University of Miami personnel. This person should be entered under non-institutional key personnel. For more information about Key Personnel and Other Significant Contributor designation, see the NIH website.

4. Administrative Personnel – In 4a enter the administrative contact who should be contacted for questions regarding this funding proposal and who will be notified if the proposal is awarded. In 4b, select team members that should have edit rights to this record. For example, study team members working on the budget, uploading documents, etc. Consider adding individuals from collaborating departments so they can complete their own portion of the budget. In 4c, enter any additional individuals who may need read-only access to the record. For example, this could include the Chairperson, a co-investigator, or any person you want to have view access to the record. Granting individuals from collaborating departments reader access allows them to verify the accuracy of their budget data.

c. Submission Information Page

For a Federal Proposal

1. Submission Type – “Federal” is displayed based on the sponsor selected on the General Proposal Information page.

2. Direct Sponsor – Displays the sponsor selected on the General Proposal Information page.

3. Will this application be submitted system-to-system? –
   • If yes, then enter or search for the Package ID, Opportunity ID, CFDA number, or Competition ID under Question 4. Then click Find. Click the Help icon for search tips. After the opportunity displays, click on the
radio button to select it and click **Continue** to navigate to the next page of the SmartForm. Confirm you have selected the correct set of forms for your Funding Opportunity.

If **no**, then enter the funding opportunity identifiers (Package ID, Opportunity ID, and/or Opportunity title) under Question 4a, 4b and 4c. If the opportunity is funded by the National Institutes of Health, select the grant type under Question 5. Any general submission documents can be attached under Question 6.

**For Federal Program Projects and Center Grants**

Program Projects, Center Grants or other Complex Projects cannot be submitted to NIH electronically through IBISResearch. Please indicate the Funding Proposal is **NOT** an S2S submission when completing the Submission Information SmartForm and prepare the ASSIST or Grants.gov submission materials based upon Sponsor guidelines.

**For Non-Federal Proposals**

- **1. Submission Type** – The type displayed is based on the sponsor selected on General Properties Information page.
- **2. Direct Sponsor** – Displays the sponsor elected on General Properties Information page.
- **3. Add any general submission documents** – Click the Add button to upload submission documents. You must upload the funding opportunity announcement or guidelines and a complete copy of the proposal being submitted to the sponsor.

**d. Funding Opportunity Announcement page (displayed for Federal Proposals Only).**

This page contains a list of required and optional SF424 Forms and identifying opportunity information from the prior page and indicates if the forms are supported by the system.

**If any of the forms are not supported, the proposal cannot be submitted system-to-system. In this rare case, return to the prior page and update Question 3 (“Will this be submitted system-to-system) to “No”.

**e. Budget Periods and Key Dates page**

- **1. Application submission deadline** – The date entered here is used to calculate the Internal Submission Deadline”.

**Note:** View the University of Miami Application Deadline Policy.

**Note:** For flow-through, enter the date the application submission is due to the Direct Sponsor.

- **2. Date response expected from sponsor.** Estimate a date you expect to hear back. This will assist the research community to manage their pending portfolio.
- **3. Date project starts** – Displays the start date entered on the General Proposal Information page.
- **4. Date project ends** – End date displayed is based on the end date of the last project period.
- **5. Project length (years)** – Number of years displayed based on the budget periods.
6. Modular budget – (Applicable only to NIH) Select to indicate whether sponsor budgets for this proposal should be modular. If you select Yes, the system adds any offsets needed to round up to the next modules increment in each budget period.

Note: The modular grant budget uses specific modules (or increments) in which direct costs are requested. Rather than submitting a detailed line-item budget, funds are requested in “modules” of $25,000 up to $250,000 per year in direct costs. When entering a modular budget, you still enter the detailed personnel costs and the summary level general cost category amounts in order for the F&A to calculate correctly and for effort reporting. The system then updates the direct cost calculations to $25,000 modular increments up to $250,000. This detailed budget will not go to the sponsor. UM still needs the detailed budget.

7. Budget Periods – The system automatically creates 5 periods that are 12 months each. Use the Add Period, Remove Period, and/or Update Periods button to modify the periods, if necessary.

Note: In the Update Periods window, click the “Use Advanced Editing” checkbox to enter specific period dates (as opposed to a number of months).

f. IBIS Proposal Information

1. What is the primary purpose of this project? – Select from the list the primary purpose of the project.

2. Does this project/activity involve any of the following (check all that apply) – Select from the list all that apply to the project.

3. In relation to this project/activity (check all that apply) – Select from the list all that apply to the project.

4. Does this project include any foreign collaboration including, but not limited to persons, entities and/or travel? – Reply Yes or No to this question. Refer to Foreign Influence on US Research page for more details.

5. Will this project require you to provide deliverables or materials that would be considered proprietary or restricted (not available to the general public) and/or will you be sending deliverables or materials to a foreign country? – Answer Yes or No to this question. Refer to the Export Control Compliance website for more information.

6. Will this project involve any of the following: research activities in International Waters; create dual use items for military/commercial applications; and/or require the use of select agents and/or toxins identified by the U.S. Government's DURC policy? – Answer Yes or No to this question. Refer to the Export Control Compliance website for more information.

g. Compliance Review

Select Yes or No to the questions listed below. In some cases, answering Yes will prompt additional questions to display.
Compliance Review

1. *Human subjects involved in this project:
   - [ ] Yes
   - [ ] No

2. *Laboratory animals involved in this project:
   - [ ] Yes
   - [ ] No
   a. *IACUC review status of this research:
      - Approved
      - Pending
      - Not Yet Submitted

3. *Recombinant DNA involved in this project:
   - [ ] Yes
   - [ ] No

4. *Hazardous materials involved in this project:
   - [ ] Yes
   - [ ] No

5. *Radioactive materials involved in this project:
   - [ ] Yes
   - [ ] No

6. *Human embryonic stem cells involved in this project:
   - [ ] Yes
   - [ ] No

- 1. Human Subjects involved in this project
- 2. Laboratory animals involved in this project
- 3. Recombinant DNA involved in this project
- 4. Hazardous materials involved in this project
- 5. Radioactive materials involved in this project
- 6. Human embryonic stem cells involved in this project

h. Additional Proposal Information

- 1. Will there be program income? – UM requires that you answer Yes or No to whether this project will incur program income. Program income is gross income generated directly from a grant-supported activity. If Yes is selected, please provide program income details.
- 2. Select resources required for this proposal – Select as applicable, any resources needed for the project. If any resources are selected, an attachment explaining the resource requirements must be attached.

i. Completion Instructions

This page contains guidance on what to do after you have completed this SmartForm, including how to validate all required questions when completed. Review the instructions and click Finish when complete.
You are returned to the Proposal Workspace. A primary budget will be automatically created in the budget tab with the name of the primary sponsor.

⚠️ **Important**: Clicking Finish moves your proposal into the “Draft” state, but does not submit your proposal to ORA. This allows for additional edits and/or actions to occur prior to the proposal submission (e.g., completing the budget, adding Ancillary Review, etc.)

### 2.2 How to Complete a Budget

After the proposal has been created, the system automatically creates a budget record with the name of the primary sponsor. The next step in the proposal submission process is to access the **Budget Workspace** and complete the **Budget SmartForm**. You may create additional budgets, as necessary.

**Note:** Consider creating additional budgets for the following scenarios:

- **Multiple Departments or Colleges**
• Multiple PIs/Investigators

• Cost Share

Follow the steps below to complete a budget:

1. Navigate to the Proposal Workspace. This can be done by accessing the proposal from the My Inbox or searching for the proposal on the Grants page. Click the proposal name to display the Proposal Workspace.

2. On the Proposal Workspace, under the Budgets tab, click the budget name to display the Budget Workspace.

3. On the Budget Workspace, click the Edit Budget button.

4. Complete the Budget SmartForm pages. The subsections below walk you through each of the pages. When finished with each page, click Continue to navigate through the rest of the SmartForm pages.

Tip: Click on the Help icons throughout the SmartForms for additional information on how to answer the questions.

a. General Budget Information page

• 1. Budget Title – Modify the title as necessary to be more descriptive of the budget’s contents.

• 2. Principal Investigator for this Project – This drop-down list contains only the names of those identified as a PI or Co-PI on the proposal. Update as necessary.

• 3. Does this budget use the standard F&A cost base and rates? The system determines the standard F&A (indirect) cost base and rates from set up selection, sponsor, and budget period dates.

• If Yes, the Standard F&A cost base and rates display in the table.
3. * Does this budget use the standard F&A cost base and rates? 

- Yes  ○ No  Clear

**Standard F&A cost base and rates**

<table>
<thead>
<tr>
<th>F&amp;A Cost Base</th>
<th>Period</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Start:</td>
<td>1/1/2021</td>
<td>1/1/2022</td>
<td>1/1/2023</td>
<td>1/1/2024</td>
</tr>
<tr>
<td></td>
<td>End:</td>
<td>12/31/2021</td>
<td>12/31/2022</td>
<td>12/31/2023</td>
<td>12/31/2024</td>
</tr>
<tr>
<td>MTDC</td>
<td>Rate:</td>
<td>53.5%</td>
<td>53.5%</td>
<td>53.5%</td>
<td>53.5%</td>
</tr>
</tbody>
</table>

- If No, a second Non-Standard F&A Cost base and rates table displays to specify a different cost rate (if appropriate) and different cost rates. When entering rates, enter the value in the first field and use the arrow to duplicate the value in all periods.

The **F&A Cost Base** options are:

- TDC – Total Direct Costs
- MTDC – Modified Total Direct Costs
- S&W – Salary and Wages (excludes benefits)
- S&B – Salary and Benefits
- FEL – Fellowship
- NIH Training Grant – Training Grant

**Non-standard F&A cost base and rates**

<table>
<thead>
<tr>
<th>F&amp;A Cost Base</th>
<th>Period</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Start:</td>
<td>1/1/2021</td>
<td>1/1/2022</td>
<td>1/1/2023</td>
<td>1/1/2024</td>
</tr>
<tr>
<td></td>
<td>End:</td>
<td>12/31/2021</td>
<td>12/31/2022</td>
<td>12/31/2023</td>
<td>12/31/2024</td>
</tr>
<tr>
<td>MTDC</td>
<td>Rate:</td>
<td>53.5%</td>
<td>53.5%</td>
<td>53.5%</td>
<td>53.5%</td>
</tr>
<tr>
<td>[Not Selected]</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>TDC</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NONE</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>S&amp;W</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>S&amp;B</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>FEL</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>NIH Training Grant</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

4. Include in consolidated budgets? This should be answered as a Yes for all sponsor budgets. Only select No for cost share budgets or budgets created in error.

**Note:** Selecting Yes adds this budget’s totals to the figures on the Proposal’s Financial tab. The totals of all budgets (except cost share budgets) will roll up into one total per cost type on the SF424 budget.

- 5. Salary cap – This field may be automatically populated with the sponsor’s salary cap. Update as necessary.

- 6. Apply inflation rate to personnel costs? Defaults to Yes. Update as necessary.
• 7. Enter inflation rates – Defaults to 3%. Update as necessary

b. Personnel Cost Definition page – The detailed budget tables consist of two pages. This first page, Personnel Cost Definition, is for entering costs. The second page, Personnel Costs, is for entering amounts.

• 1. Personnel Costs – Complete the list of personnel by completing one of the following tasks:

• Click the Import Proposal Personnel button to import the PI and all other institutional personnel listed on the proposal at one time. This action can only be completed once.

• Click the Go to additional personnel on the funding proposal link to jump to the Personnel page of the Proposal SmartForm to add personnel.

When complete, navigate back to the Personnel Costs page of the Budget SmartForm and click the import Proposal Personnel button.

• Click the Add button to add personnel individually.

Important: The annualized base salary must be entered for personnel on the project. For example, if a person makes $90,000 for 9-month period, the annualized base salary (90,000/9 x 12 = $120,000) The salary entered should be $120,000.

Use the Staff To Be Determined value if the position has been funded, but not staffed.

You can edit personnel costs by clicking Update
Gra

nts Use

Guide

February 2023

page 15

Edit Personnel Cost

1. Staff member:
   Rebecca Simms (pi)

2. Role:
   PD/PI

3. * Appointment:
   9 months

4. Base salary applied:
   120000

5. Apply inflation rate:
   Yes  No  Clear

When complete, each row of the table reflects the Appointment duration, Role and whether the individual is a key contributor. The system maps all personnel marked as "key" to section A of the Research and Related Budget in the SF424 forms, and all personnel marked as "non-key" map to section B of the Research and Related Budget. See NIH FAQs for clarification of Senior Key Personnel, Non-Key Personnel, Significant Contributor and Consultant.

Personnel Cost Definition

1. Personnel costs:

<table>
<thead>
<tr>
<th>Staff Member</th>
<th>Appointment</th>
<th>Role</th>
<th>Is Key</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rebecca Simms (pi)</td>
<td>9 months</td>
<td>PD/PI</td>
<td>yes</td>
</tr>
<tr>
<td>Charles Bauer</td>
<td>12 months</td>
<td>Technician</td>
<td>no</td>
</tr>
<tr>
<td>Staff Member To Be Determined</td>
<td>12 months</td>
<td>Technician</td>
<td>no</td>
</tr>
</tbody>
</table>

   a. Personnel Costs page – This page consists of a Budget Summary table and a Personnel Costs table that contains a row for each individual listed on the prior page, which includes their salary benefits, and total compensation.
## Personnel Costs

### Budget Summary

<table>
<thead>
<tr>
<th></th>
<th>Period 1</th>
<th>Period 2</th>
<th>Budget Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>1/1/2021 - 12/31/2021</td>
<td>1/1/2022 - 12/31/2022</td>
<td></td>
</tr>
<tr>
<td>Personnel Total</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Direct Total</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Indirect Total</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Grand Total</td>
<td>$0.00</td>
<td>$0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

### Personnel Costs

<table>
<thead>
<tr>
<th>Person</th>
<th>Role</th>
<th>Period 1 1/1/2021 - 12/31/2021</th>
<th>Period 2 1/1/2022 - 12/31/2022</th>
<th>Budget Totals</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rebecca Simms (pi)</td>
<td>PD/PI</td>
<td>Salary: $0.00</td>
<td>Salary: $0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Alex Adesina</td>
<td>Faculty</td>
<td>Salary: $0.00</td>
<td>Salary: $0.00</td>
<td>$0.00</td>
</tr>
<tr>
<td>Staff Member To Be Determined</td>
<td>Technician</td>
<td>Salary: $0.00</td>
<td>Salary: $0.00</td>
<td>$0.00</td>
</tr>
</tbody>
</table>

- Click the **Show Effort** button to display additional fields used to indicate the percentage of effort each individual will contribute on the project and the percent of the base salary required.

### Effort Details

<table>
<thead>
<tr>
<th>Person</th>
<th>Role</th>
<th>Period 1 1/1/2021 - 12/31/2021</th>
<th>Period 2 1/1/2022 - 12/31/2022</th>
<th>Period 3 1/1/2023 - 12/31/2023</th>
<th>Period 4 1/1/2024 - 12/31/2024</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rebecca Simms (pi)</td>
<td>PD/PI</td>
<td>Effort: 10 %</td>
<td>Effort: 10 %</td>
<td>Effort: 10 %</td>
<td>Effort: 10 %</td>
</tr>
<tr>
<td>Charles Bauer</td>
<td>Technician</td>
<td>Effort: 85 %</td>
<td>Effort: 85 %</td>
<td>Effort: 85 %</td>
<td>Effort: 85 %</td>
</tr>
<tr>
<td>Staff Member To Be Determined</td>
<td>Technician</td>
<td>Effort: 100 %</td>
<td>Effort: 100 %</td>
<td>Effort: 100 %</td>
<td>Effort: 100 %</td>
</tr>
</tbody>
</table>

| Salary Cost Total     | $0.00          | $0.00                           | $0.00                           | $0.00                           |
| Benefits Cost Total   | $0.00          | $0.00                           | $0.00                           | $0.00                           |
| Personnel Cost Total  | $0.00          | $0.00                           | $0.00                           | $0.00                           |
Enter the applicable Effort and Sal Req percentages and modify the Fringe Benefit Rate (FB Rate) to the University of Miami rates. If you expect these values to remain consistent across all periods, click the small arrows to copy the values to the subsequent periods.

Repeat this process for all salaried personnel. When complete, click the Save button to update the totals fields in both the Budget and Personnel Costs tables.

General notes about the Personnel Costs Table:

- Use the Show Effort button to toggle between the percentage and the dollar amount views.
- The Base salary added to personnel should be their annualized base salary.
- If the Base salary is greater than the salary cap amount, the calculations will use the salary cap.

### General Costs Definition page

On this page you will enter line items for cost categories not entered in the preceding budget tables. Similar to the Personnel Costs pages, the General Cost tables consist of two pages. The first page, General Cost Definition, is for entering costs. The second page, General Costs, is for entering the amounts.

1. **General Costs** – Click the Add button to add a new cost type and repeat as necessary.

In the Add General Costs window, answer the following questions:
• **General cost type** – Make a selection from the drop-down list.

• **Cost** – Enter the dollar amount per period.

• **Description** – Enter additional information about the cost type.

• **Apply Inflation?** Answer Yes or No. By answering No, the amounts will be editable on the next page. (For example, if you are purchasing a microscope in Year 1, you should mark No to Apply Inflation. This will allow you to edit the other budget periods to “0” if microscopes will not be purchased in future years.

• **Include in Indirect Cost Rate** – Answer Yes or No. This question only displays for certain cost types.

Add General Cost

1. **General cost type:**

2. **Cost:**

3. **Description:**

4. **Apply inflation?**
   - Yes
   - No

5. **Include in indirect calculations?**
   - Yes
   - No

When complete, click **OK** or **OK and Add Another**.

1. **General Costs page** – This page consists of a Budget Summary table and a General Costs table that contains a row for each cost type listed on the prior page. Notice that the costs with inflation factored in are automatically promoted across all budget periods.

   Enter any notes about the general costs in question 1 and click **Save**.

   If you have any supporting documents for this budget, you will have an opportunity to attach them to the last page of the Budget SmartForm.

*Note: The general cost collar amounts shown below are editable because the “Apply Inflation?” question in the Add General Cost window was answered as No.*
You must answer **No** to **Apply Inflation?** If you want to edit the general cost dollar amounts.

2. **F&A Cost Overides page** – The page reports the F&A cost base standards being used to calculate the F&A amount for this budget and if applicable, any overrides. **Only Specialist in the central office can change these settings.**

3. **Attachments page** – Attach any supporting budget documentation that may be useful for internal review processes in either, PDF, Word or Excel formats. These attachments will not promote to the SF424. **When complete, click the Finish button. You are returned to the Budget Workspace.**

4. On the Budget Workspace, the Financials tab reflects the categories and totals specified on the budget tables. Click the **Edit Budget** button to make any additional updates.
2.3 How to Create An Additional Budget

Additional budgets may need to be created for the proposal submission. Consider creating additional budgets for the following scenarios.

- Multiple Departments or Colleges
- Multiple PIs/Investigators
- Cost Share

Follow the steps below to create an additional budget:

1. Navigate to the Proposal Workspace. This can be done by accessing the proposal from My Inbox or searching for the proposal on the Grants page. Click the proposal name to display the Proposal Workspace.
2. On the Proposal Workspace, click the Create Additional Budget activity button.
3. In the Create Additional Budget window, enter the Budget title and the associated PI Name and click OK.
4. On the Budget Workspace, complete the pages, as necessary. See “How to Complete a Budget” section above for additional information.

2.4. How to Create A Cost Share Budget

Cost share budgets are necessary to account for funds when sharing a portion of the research project’s cost. Cost share budgets can only be created after the primary budget associated with the proposal has been created.

Follow the steps below to create a cost share budget:

1. Navigate to the Proposal Workspace. This can be done by accessing the proposal from My Inbox or searching for the proposal on the Grants page. Click the proposal name to display the Proposal Workspace.
2. On the Proposal Workspace, under the Budgets tab, click the primary budget name to display the Budget Workspace.
3. On the Budget Workspace, click the **Create Cost Share** button.

4. Complete the Cost Share SmartForm pages. The subsections below walk you through each of the pages. When finished with each page, click Continue. To navigate through the rest of the SmartForm pages.

   Tip: Click on the Help icons throughout the SmartForms for additional information on how to answer the questions.

### 2.5 How to Create a Subaward Budget

Subaward budgets are necessary to account for funds when contracting an external institution for certain services (scope of work) as part of the research project. Subaward budgets can only be created after the primary budget associated with the proposal has been created.

Follow the steps below to create a Subaward budget:

- Navigate to the Proposal Workspace. This can be done by accessing the proposal from My Inbox or searching for the proposal on the Grants page. Click the proposal name to display the Proposal Workspace.

- On the Proposal Workspace, under the Budgets tab, click the primary budget name to display the Budget Workspace.

- On the Budget Workspace, click the **Create Subaward** button. You can create an unlimited number of subawards, if needed, by clicking **Create Subaward**.

- Complete the Subaward SmartForm pages. The subsections below walk you through each of the pages. When finished with each page, click Continue to navigate through the rest of the SmartForm pages.

   Tip: Click on the Help icons throughout the SmartForms for additional information on how to answer the questions.

#### a. Subaward Budget Information page

- **1. Title** – Enter a descriptive name for the budget.
- **2. Organization** – Enter the subawardee’s name or search for key words using the wild card feature (“%”). If the subawardee name is not listed select TBD.
- **3. Principal Investigator** – This field automatically populates with the primary budget’s PI.
- **4. Subawardee PI** – Enter the Subaward’s PI’s information.
- **5. Subaward Budget Detail Level** – Select how to capture budget data for this subaward.
  - **Per Period Direct and Indirect Totals** – All costs are captured in a single budget table as per period direct and indirect costs.
  - **SF424 Subaward Import** – Allows you to upload the subawardee’s budget totals from a completed R&R subaward Budget PDF Form.

   Note:
Select this option when submitting your proposal system to system (IBISResearch to Grants.gov).

The PDF form must be opened with Adobe Acrobat (not a web browser) to edit it.

The period of period dates entered in the Subaward R&R Budget PDF form must match the budget periods of the primary budget.

6. Include in the consolidated budget? – Select Yes or No on whether to include the subaward totals in the consolidated budget. Only select “No” for budgets created in error.

7. Subaward indirect contribution limit – For budgets using the MTDC cost base standard, the system automatically includes the first $25,000 of subaward budgets in the cost base for calculating indirect costs for the primary budget. Update as necessary.

Note: This question only displays if MTDC was selected as the cost base standard in the primary budget.

b. All Personnel page

1. Subaward Key Personnel, Graduate Students, Post Grants, etc. – Click the Add button to add personnel identified who will be working on the project.

c. Per Period Cost Totals page (displayed only if this option was selected on the first page).

Enter Direct and Indirect costs as necessary and use arrows to promote the same values to the subsequent periods.

The total at the top of the table will update as data is entered. It is optional to enter budget notes in Question 1.

d. SF424 Subaward Import page (displayed only if this option was selected on the first page). The editable PDF is available on the SF424 Workspace within the system or on the Grants.gov website.

The budget periods entered on this PDF form must match the budget periods on the primary budget.

To import, select your SF424 Subaward and click Save. The totals from the form will be loaded in the system.

SF424 Subaward Import

1. To import, select your SF424 Subaward PDF click Save. The totals from the form will be loaded in the system.

e. Attachments page

1. Attachments – Click the Add button to uploaded any supporting documents

When complete, click the Finish button. You are returned to the Subaward Workspace. Use the breadcrumbs to navigate back to the primary Budget Workspace.
For future reference subaward budgets are displayed under the Subaward tab of the Budget Workspace.

2.5.1. Using the Import Subaward Activity

If the subaward budget is being submitted system-to-system, the required Subaward R&R Budget form from Grants.gov form must be uploaded. Typically, users will upload the completed Subaward budget PDF form within the Subaward Budget SmartForm. However, if the data was manually entered on the Subaward Budget SmartForm, Grants.gov will still require you to upload this form as part of the SF424 submission. The Import Subaward activity can be used to accomplish this task after the SF424 has been created.

1. Once the SF424 is ready to be generated, click the Create-Update SF424 activity on the Proposal Workspace.
2. On the Create-Update SF424 window, select the applicable forms, including the R&R Subaward Budget form, and click OK. The system generated the SF424 application.
3. On the Proposal Workspace, click the SF424 Summary tab. Click the SF424 link to access the SF424 Workspace.
4. On the SF424 Workspace, click the Edit Grant Application button.
5. On the SF424 SmartForm, update the forms as necessary. On the R&R Subaward Budget – Number of Subawards form, enter the number of Subawards. You do not need to complete the Subaward Budget form pages, as this is what will be uploaded using the Import Subaward activity.

6. On the SF424 Workspace, click the Import Subaward activity.
7. In the Import Subaward window, select a subaward for Question 1. and upload the completed Subaward R&R Budget PDF form for Question 2. Click OK.
8. When returned to the SF424 Workspace, click the Validate Submission activity and complete the remaining steps to submit the SF424 application.

2.6. How to Manage SF424 Submission for Federal Proposal

If you selected to submit your proposal by system-to-system on the Submission Information page of the Proposal SmartForm, the system will create the applicable SF424 forms automatically and populate them with data from the Proposal and Budget SmartForms. This functionality also allows you to quickly verify compliance with sponsor requirements.

Note: For additional guidance on specific SF424 forms, please reference the General Application Guide for NIH and other PHS Agencies or the SF424 Instructions Reference Guide.

Follow the steps below to create the SF424:

1. On the Proposal Workspace, click the Create-Update SF424 activity.

2. In the Create-Update SF424 window, select the forms you want to include in the submission and click OK.

Important:

- The applicable optional forms must be selected, specifically the budget forms should be selected for all applications that include a budget.

- If this is the first time this activity is being executed, click OK to create the SF424 application. If this is not the first time this activity is being executed, please be aware that selecting OK will override any manual changes made in the SF424 form to previously mapped data.

- You have the option to select only the form that needs to be updated.
3. The “Status” column will update as the system generates the forms. When all the forms have been created, a “Success!” message displays at the bottom.

4. On the Proposal Workspace, click the **SF424 Summary** tab, then click the SF424 link.

5. On the SF424 Workspace, click the **Edit Grant Application** button.

6. Review each of the S424 forms, reviewing each page to ensure the information is accurate. Many fields are automatically populated based on data entered on the proposal and budget.
Important guidance on reviewing SF424 forms:

- If a SF424 form field needs to be updated, but contains data that was automatically populated, make the necessary updates on the proposal and/or budget SmartForm pages and update the SF424 forms systematically. If changes are made directly on the SF424 forms, the next time the Create-Update SF424 activity is executed, your changes will be overwritten with the values in the proposal and/or budget.

- Fields with a red asterisk are required to be completed by the IBISResearch system. Please note that Grants.gov may require additional fields to be completed, in addition to those required by IBISResearch. For example, Grants.gov requires the “Email” field under the “A Person to be Contacted” section of the “SF424 (R&R) 2.0” form to be completed (however IBISResearch does not indicate that field is required).

- All attachments must be uploaded in PDF format.

- If a Subawardee was entered as “TBD” on the budget, you must update the SF424 form(s) with the name of the Subawardee.

7. When your review is complete, check for errors using the Validate button in the left navigation pane. Errors that must be corrected will highlighted with a red circle and warnings will be noted with a yellow triangle. Click on the field name or page to navigate to that location within the SF424 forms.

It is encouraged to re-run the validation from within the SmartForm as many times as necessary.
8. When validation complete, return to the SF424 Workspace and click the Validate Submission activity. This activity runs additional checks on the submission.

9. If the validation does not pass, an Error/Warning Messages window displays which guides you through what information needed to be updated/completed. Click on the link under the “Jump To” column to navigate directly to the page where an update is necessary.

   Error messages display in red and must be addressed. Warnings are displayed in yellow.

10. When the updates are complete, return to the SF424 Workspace and click the Validate Submission activity again.

11. If the validation passes, a Validate Submission window displays confirming the action. Click the two checkboxes and click OK.

12. The state of the SF424 is updated to the “Valid for Submission” state, indicating it can be submitted to Grants.gov.

   The SF424 forms are now locked for editing.

   **Important:**
   
   - A validated SF424 submission is required to meet the “Application Deadline Policy” implemented by the Office of Research Administration.
   
   - A SF424 in the “Valid for Submission” state serves at the document certification to the Specialist in the Office of Research Administration.
13. To verify that the SF424 data submitted is formatting correctly for electronic submission, click the Submission Pre-Check activity on the SF424 Workspace.

⚠️ Important: In the rare event that something goes wrong, contact:
Call: Help Desk - 305-243-2314
Email: OVPRShelpdesk@miami.edu

Now the SF424 forms are complete and free of errors, the proposal submission is ready for department review.

14. Please review the steps in the “How to Submit a Proposal for Department Review” section below.

When the Submit for Department Review is clicked, it routes it to the department for review and sends an email to the PI with a link to the funding proposal certification. The PI must certify those statements prior to the proposal being submitted to the sponsor.

1. In the Proposal Workspace, you will notice the state has been updated to “Department Review”.
2. The system sends an email to the department reviewer associated with the responsible department and adds the proposal to their IBISResearch Inbox.
3. The system sends an email to the PI with a link to the funding proposal certification.
4. The PI must certify those statements prior to the proposal being submitted to the sponsor.
Note: From the Proposal Workspace, you can click on the Reviewers tab and view the name(s) of those on the approval routing.

3. How to Manage Ancillary Reviews

In some cases, it may be necessary to obtain higher approvals within the University to review details of the submission. This business process will be managed by using the Manage Ancillary Review activity, which enables you to add reviewers, track these reviews, and ensure they are completed on time.

An Ancillary Reviewer can be added by the Research Community (e.g. PI, Department Administrators, Study team members) or ORA staff (Specialists, Award Approvers, etc.) at various points throughout the workflow. This guide describes how to manage Ancillary Reviews for Proposals, Awards, and Award Modifications within IBISResearch.

Multiple Ancillary Reviews can be completed in parallel with each other and outstanding reviews will not prevent the record (Funding Proposal, Award, Award Modification) from moving forward in the workflow.

Important:

- Various users can add ancillary reviewers during the following states:
  - Proposal – Proposal Editors and Specialists in the Office of Research Administration may add Ancillary Reviewers from the Draft state through the Pending Sponsor Review state.
  - Award – Award Editors and Specialists and Award Approvers in the Office of Research Administration may add Ancillary Reviewers through the “Final Review – Response Pending” state and in the subsequent “Advance Account” state.
  - Award Modification – Award Editors (Study Staff) and Specialists and Award Approvers in the Office of Research Administration may add Ancillary Reviewers through the “Final Review – Response Pending” state.

- Ancillary Reviewers receive an email notification as soon as they are added. The record will also appear in their My Reviews tab on the Dashboard.

3.1. How to Add Ancillary Reviewers

Follow the steps below to add an ancillary reviewer to a record (Funding Proposal, Award, or Award Modification):

1. Navigate to the Workspace. This can be done by accessing the record from My Inbox or searching for the record on the Grants Project Listing page. Click the name to display the Workspace.

2. On the Workspace page, click on the Manage Ancillary Reviews activity which is located on the left.

3.1.2. Managing and Adding an Ancillary Review: (Follow diagram)

1. In the Manage Ancillary Review window, click Add.

2. Select a person as a reviewer – From the pop up box, type in the name of the person, or click the ellipsis button next to
the **Person** field to select the appropriate individual (do not select an Organization).

**Notes:**

- Please review the Ancillary Review Matrix, which will indicate who you should select when initiating an Ancillary Review in IBISResearch.

3. **Review Type** – Select the applicable review type. Available review types are specific to the record.
   
i. **Compliance COI** – Must be used to disclose a potential conflict of interest specifically when submitting an STTR/SBIR application.
   
ii. **Co-PI** – Required if the project is a multiple PI Project, or if Co-PI(s) are included on the project from other departments. The Ancillary Review is submitted to the corresponding department of the Co-PI(s).

   iii. **Cost Share** - Must be used to obtain approval when cost sharing.
   
iv. **Department Chair/Center Director** – Must be used when a Department Chair, Center or Institute Director is a Principal Investigator on a proposal.

   v. **Export Controls** – Must be used when the project has export control related issues.
   
   vi. **Indirect Cost Waivers** – Must be used when the F&A rate is outside of the standard UM rate.
   
   vii. **Nepotism/Familial Relationships** – Must be used when there is a familial relationship on the project.
   
   viii. **PI Eligibility** – Must be used when the Principal Investigator on the project does not meet the PI Eligibility requirements.

   ix. **Resources** – Must be used when space and/or renovations are required for the project.
   
   x. **Terms and Conditions** - Used by ORA to route for a review of terms and conditions.

**Important:** The following review types must be approved prior to submission of the application to the sponsor.

   i. **Cost Share**
   
   ii. **Indirect Cost Waiver**
   
   iii. **Resources**

SBIR/STTR

4. **For Response required?** Select Yes

5. In the **Comments box**, enter any comments which will be saved and visible to the reviewer in the system.
6. In **Supporting Documents**, click to add documents which will be saved and visible to the reviewer in the system.
   a. For example, when initiating a cost sharing ancillary review, a justification for cost sharing must be included.

   **Important:** Comments and Documents included in the **Add Ancillary Reviews** window will be included in the email notification to the reviewer and will be visible in the History and the Manage Ancillary Reviews screen.

7. Select **OK**.

   **Important:** In order to expedite the review process for all Ancillary reviews, it is important to obtain departmental and/or School level approvals prior to submitting for Institutional approval. Also, it is recommended to include Comments and Supporting documents in both windows, to ensure the information is captured in the email and the Ancillary Review window.

### 3.2. How to Submit an Ancillary Review (Ancillary Reviewers Only)

Follow the steps below to submit an ancillary review:

1. Access the record in one of two ways:
   a. From the system generated email, click on the “Grant ID” link.
   b. Click on the name on the My Inbox or My Reviews tab.

2. On the Proposal Workspace, click the **History** tab to review the comments and/or documents from the requestor.
   a. On the History tab, click “Ancillary Reviews Updated” activity name.

3. Next click on the Property Changes tab. Comments from the submitter will be highlighted in green in the Property Changes tab.

4. Click on the **Documents** tab to open attached documents by clicking on the link. Once you have reviewed any attached documents, you may return to the Funding Proposal Workspace page by clicking the **Return to Workspace** link.
5. On the Workspace, you may send an email to request clarification prior to submitting the Ancillary Review.

6. If no clarification is needed, from the Workspace click the **Submit Ancillary Review** activity.

7. In the **Submit Ancillary Review** dialog box, complete the questions. Click OK to continue submit the review.

8. When the system returns to the Workspace page, the History tab displays a **Submitted Ancillary Review** activity.

---

**Important:** Email notifications are not generated upon completion of the **Submit Ancillary Review** activity. Use the **Send Email** activity to notify the requestor of the ancillary review submission. The status of **Ancillary Reviews** can be found on the Reviewers tab of the Proposal Workspace.

### 4. How to Update the Proposal with Sponsor Determination

When the Principal Investigator receives a determination from the sponsor, he/she may update the proposal to send a notification to the assigned Specialist in the ORA.

Follow the steps below to update the proposal with the sponsor determination:

1. On the **Proposal Workspace**, click the **Notify SPO of Grant Status** activity.

2. In the **Notify SPO of Grant Status** window, select the **Grant Status** that describes the determination you received.
3. Attach documentation pertinent to this project (i.e., notification from the sponsor of intent to fund, award notice from the sponsor, JIT Info requested, etc.) This is also the time you may request an advance account. Attach intent to fund documentation and Advance Account Form.

4. When complete, click OK. The state is updated to “SPO Status Confirmation” an email notification is sent to the assigned Specialist with the Grant Status you selected.

5. Based on the Grant Status, the Specialist will decide how to proceed.

⚠️ Important: At this time, the Notify SPO of Grant Status is an activity only available to the Principal Investigator. The Study Staff may use the Send Email activity in IBISResearch to notify the specialist of the award status and request an Advance Account. Attach the intent to fund documentation and the Advance Account Form to the email.

5. Additional Proposal Tasks

The following subsections describe how to complete additional tasks that may be necessary as the proposal submission progresses through the workflow.

5.1. How to Manage deliverables

Deliverables are entered in the system by the Specialist in the Office of Research Administration and the Study Staff in the Department during award set up, however the proposal team is responsible for managing and completing the deliverables in the system. A list of deliverables are displayed on the Deliverables tab of the Award Workspace.

Follow the steps below to manage Deliverables.

- On the Award Workspace, click the Manage Deliverables activity.
To edit the deliverable, click the Name of the deliverable. Here you can update the status to “In Progress.”

To complete the deliverable, click the Complete button.

In the Complete Deliverable window, update the applicable fields and click OK.

5.2. How to Manage Relationships (linking records in IBISResearch)

Proposals can be linked to related records in IBISResearch (e.g. an agreement in IBISResearch).

Follow the steps below to manage relationships in IBISResearch.

1. Navigate to the Workspace. This can be done by accessing the record from My Inbox or searching for the record on the Grants Project Listing page.

2. Click the name to display the Workspace.

3. On the Proposal Workspace page, click the Manage Relationship activity.

4. In the Manage Relationship window, use the Related Submissions field to either enter the ID or use the ellipsis (“…”) to search for the record. You may also search using the wildcard (“%”) and a word.

5. When complete, click OK.

Note: Linked records are displayed in the Related Projects tab of the Proposal Workspace.

5.3. How to Manage Tabs
Tags are used to identify certain attributes about a proposal for reporting purposes. These were previously called scientific classification. (For example, if the project involves research on marine science, select Ocean Sciences from the tags).

Follow the step below to manage tags:

1. On the Proposal Workspace, click the Manage Tags activity.
2. In the Manage Tags window, click the “…” button to add one or more tags.
3. When complete, click OK to return to the Workspace.

5.4. How to Export the Budget

Follow the steps below to export the budget to Excel format:

1. On the Proposal Workspace, click the Export Budget activity. Please note the budget must not contain any special characters (:\/?*{}[]) to execute this activity.
2. After the screen refreshes, click the History tab. The Excel file can be accessed under the Exported Budget activity.

5.5. How to Send an Email

Emails can be sent from the proposal to other users at UM. All emails are tracked within the History tab of the proposal. Follow the steps below to send an email from the Proposal:

1. On the Proposal Workspace, click the Send Email activity.
2. In the Sent Email window, click the fields.
3. When complete, click OK to return to the Workspace.
5.6. How to Add Attachments to a Proposal

The Add Attachments activity can be used to upload new or revised documents to the Proposal.

**Note:** To add/upload attachments to an Award, navigate to the Award Smart Form.

Follow the steps below to add an attachment:

1. On the Proposal Workspace, click the Add Attachments activity.
2. To a new document, click the Add button, search and select your document and click OK.
3. To upload a revised document, click the “…” and select the Upload Revision.
4. When complete, click OK to return to the Workspace.
5.7. How to Manage the Guest List

The Manage Guest List activity is used to manage the list of individuals who have either edit or read-only access to the proposal submission.

*Note: This activity contains the same list of editors and/or readers as those listed as administrative personnel on the Personnel page of the Proposal SmartForm.*

Follow the steps below to add an individual to the guest list:

1. On the Proposal Workspace, click the Manage Guest List activity.

2. In the Manage Guest List window, enter the individual's name or use the ellipsis ("…") to search for an individual to be added as an editor (under Question 1) or as a reader (under Question 2).

3. When complete, click OK to return to the Workspace.

5.8. How to Add a Comment

Comments can be added to a proposal and are visible to all individuals that have access to read or edit the proposal. Follow the steps below to add a comment to the Proposal:

1. On the Proposal Workspace, click the Add Comment activity.

2. In the Add Comment window, enter your comments and any attachments.
3. When complete, click OK to return to the Workspace.

Click in the History tab to review

5.9. How to Copy a Proposal

In some cases, several proposals with similar information may need to be created. Use the Copy activity to save time. Follow the steps below to copy a proposal:

1. On the Proposal Workspace, click the Copy activity.
2. In the Copy window, enter the new proposal name and check the Use background processing checkbox.
3. When complete, click OK to return to the Workspace.

Note: Copies records are not linked as a Related Project.

5.10. How to Respond to Change Request

During their review, Department Reviewers and/or Specialists in the Office of Research Administration may need to request changes to the funding proposal.

Note: When the Department Reviewer requests changes, the proposal state is updated to “Department Review: Response Pending from PI”. When the Specialist requests changes, the proposal state is updated to “Specialist Review: Response Pending from PI”.

Follow the steps below to respond to a change request:

1. Navigate to the Workspace. This can be done by accessing the record from My Inbox or searching for the record on the Grants Project Listing page. Click the name to display the Workspace.
2. There are two ways to review the change request and display the appropriate page of the Proposal SmartForm.
   a. Option 1 – Reviewer Notes tab
      i. On the Proposal Workspace, click the Reviewer Notes tab.
      ii. For each note, click either the SmartForm page name (e.g. “Personnel”) or the question name (e.g. “Biosketch”) to navigate directly to the question to make your updates.
b. Option 2 – Reviewer Notes within the SmartForm
   i. On the Proposal Workspace, click the Edit Funding Proposal button.
   ii. In the left navigation pane, click the page name(s) with the Reviewer Notes icon.
   iii. On the SmartForm page, click the reviewer note icon for each question to read the reviewer's notes.
   iv. Make the requested change and click the Reply link within the Reviewer Note to add a comment about the change (or explain why you did not make a change). When complete, click OK and click Close.
v. Click **Save** on the Proposal SmartForm to save your changes.

3. When all reviewer notes have been addressed, navigate back to the **Proposal Workspace**.

4. Click the **Submit Changes to Department Reviewer** activity (if requested by the department reviewer) or the **Submit Changes to the Specialist** activity (if requested by the specialist).

**Note:** All reviewer notes marked as “Response Required” require a response before you can resubmit the proposal back to the department reviewer or specialist.

5. In the **Submit Changes** window, enter comments and attachments (if necessary) and click **OK**.

6. The proposal state is updated back to “Department Review” or “Specialist Review” (depending on who requested the changes) and an email notification is sent to the reviewer. Additionally, the proposal is moved to the reviewer’s IBISResearch Inbox.

### 5.11. How to Respond to a JIT Request

When a sponsor needs additional information or a change to a submission (e.g. budget revision), the sponsor will issue a Just-in-Time (JIT) request to the Office of Research Administration. The assigned specialist will perform the **JIT Changes Required** activity to move the proposal to the “JIT Response Required” state, which sends an email notification to the assigned PI.

Follow the steps below to respond to a JIT Request

1. Access the proposal in one of the ways:
   a. From the system generated email, click on the “Grant ID” link.
   b. Click the Proposal name on the **My Inbox** or **Grants Projects Listing** page.

2. On the **Proposal Workspace**, click the **History** tab to review the comments and/or attachments from the assigned Specialist.

### 6. How to Complete Award Department Edits

After the Specialist in the Office of Research Administration Office has created the award record and completed the preliminary pages of the Award SmartForm they are responsible for, the Specialist notifies the Administrative Contact on the Funding Proposal to complete the remaining Award SmartForm pages. The Funding Award remains in Draft state.

**The Specialist in the Office of Research Administration is responsible for starting the following pages of the**
Award SmartForm:

- General Award Information
- Related Items
- Financial Setup
- Budget Allocations
- Terms and Conditions
- Deliverables

The Department is responsible for reviewing and completing the forms started by the ORA Specialist. In addition, the Department must complete the Budget Reconciliation, Personnel Effort, Deliverables and Compliance Review pages in order for the Award to be Activated. Once they have completed all pages, they must send an email to the Specialist who will complete the final review prior to activating the account.

From the Award Workspace, click the Edit Award button.

1. Use the left navigation pane to jump to the following pages that need to be reviewed and/or completed by the Award Editors:
   a. General Award Information – This page was initiated by the ORA Specialist. Review the page for any discrepancies. The Department is responsible for revising #21 as needed. See detailed instructions below.
   b. Related Items: This is completed by the Specialist in ORA. Please review.
   c. Financial Set Up: This is completed by the Specialist in ORA after the Department has completed the pages in the Funding Award. This is the final step before the award is activated.
   d. Budget Allocations: This is completed by the Specialist in ORA. Please review.
   e. Budget Reconciliation: The Department is responsible for completing the budget Reconciliation page. This page is where you reconcile the proposal’s budget data with the amount released in the Notice of Award to match the award. See detailed instructions below.
   f. Personnel Effort: The Department is responsible for completing the Personnel Effort page. Personnel proposed in the funding proposal automatically import into the Personnel Effort page in the Award. See detailed instructions below.
   g. Terms and Conditions: These are the terms and conditions of the award. This page completed by the Specialist in ORA. Please review.
   h. Deliverables: This ORA Specialist will have added financial deliverables in this section. The Department should include milestones or deliverables they wish to track and manage these in IBISResearch. See detailed instructions below.
   i. Compliance Review: The Department is responsible for the compliance page. Provide compliance approvals and update all compliance questions related to the project. See detailed instructions below.

Instructions to Complete Award Setup SmartForm

Follow the steps below to complete the applicable Award SmartForm pages.

1. From the Award Workspace, click the Edit Award button.
2. Use the left navigation pane to jump to the following pages to edit.
General Award Page

Field #21: Select team members who have edit rights or read-only rights to the award: Only individuals listed in section #21 will be able to edit or view the award. Add or delete individuals, as needed. If this is not completed, individuals in the department who require access to the award may not have access to view it.

Budget Reconciliation Page

This page is where you reconcile the proposal’s budget data with the amount released in the Notice of Award.

1. In the Select the Budget Allocation to display drop down list, select the allocation reconcile.

**Note:** Only allocations characterized as “authorized” or “advance account” on the Budget Allocations page are available for reconciliation.

Selecting an allocation displays a table of the award budget categories defined in the system. It also updates the Total Sponsor Award field with the amount you entered on the first page of the award.

At this point, you can choose to proceed with one of two approaches to reconcile the budget.

- **Import Approach** – Click the Import button to use the proposal’s budget data as a baseline for making adjustments.

  **Warning:** Using the “import ($)” and “Clear” buttons updates the Budget Reconciliation and Personnel Effort pages.

  With this approach, you typically enter positive or negative amount in the Adjustments column to modify the budget until the Difference value in the header reaches zero. Use this approach when you can match the allocation amount with a few adjustments.

- **Non-Import Approach** - Do not import the proposal budget data and manually type in the budget amounts in the Adjustments column.

  This approach is helpful if the amount released in the Notice of Award will require so many changes that it is just simpler to enter the new budget amounts directly. With this approach, enter positive amounts that reduce the Difference value in the header to zero.

iii. Regardless of the approach used, note the following:

- Dagger icons next to the Adjustments column indicate categories that are eligible for F&A recovery. Adjustments to these expenses automatically create the needed F&A adjustments in the Facilities and Administration row, using the indirect rate specified in the allocation.

- In the header of the page, note the following the figures under the Current Allocation section pertain to the allocation that was selected for reconciliation.
The **Total Reconciled** amount is the sum of the Active Allocation Total amounts for all line items listed on the form. This amount updates as individual costs are adjusted.

The **Difference** amount reflects the gap between the total awarded amount on the selected allocation and the total of the detailed budget amounts on this page. A negative value means the detailed budget amounts on this page add up to more than the awarded amount on the allocation and need to be adjusted. The budget is reconciled when the **Difference** amount is zero or a positive number acceptable to UM.

- The amounts under the **All Allocations** section pertain to the sum of all currently authorized and advance account allocations. If multiple applications are authorized and imported to the **Budget Reconciliation** page, these figures will differ from the **Current Allocation** figures.

iv. When complete, click the **Continue** button.

**Personnel Effort Page**

This page allows you to document effort commitments for personnel paid from the award. Typically, you will do this for the currently authorized allocation. You are not required to update it, but once during award setup.

**Note:** By default, this page expands the entries for the first allocation, and collapses the other allocations. To expand an allocation, click the plus sign next to its name. To collapse one, click the minus sign.

Initially, the commitments displayed match the effort and salary projected in the funding proposal. However, sometimes these require adjustments. For example, you can use this page to adjust appointment start and end dates.

To designate a position that is not yet filled, leave the **Person** box blank and check the **TBD** box. If a TBD position has been filled, add the person to the Personnel Effort page.

The system calculates a cost share percentage whenever effort percentage exceeds the salary requested percentage.

**Deliverables Page**

The Department should include milestones or deliverables they wish to track and manage in IBISResearch. ORA will have already added financial deliverables for the project.

**Compliance Review Page**

The answer on this page are populated based on those entered in the proposal.

Update as necessary. Note that answering “Yes” to some questions will dynamically display additional fields for completion.
2. When complete, click the Save and Exit buttons.
3. On the Award Workspace, click the Send Email activity to notify the Specialist in ORA.
4. In the Send Email window, enter comments and attachments (if necessary) and click OK.

6.1. Budget Reconciliation Example Using the Import Approach

This section uses the import approach to demonstrate how to reconcile the budget by importing the proposal’s budget data to use as a baseline for making adjustments. With this approach, you typically enter positive or negative amount in the Adjustments column to modify the budget until the Difference value in the header reaches zero. Use this approach when you can match the allocation amount with a few adjustments.

1. See the “How to Complete Award Department Edits” section above.
2. On the Budget Reconciliation page, select the budget allocation and click the Import button.

![Select the Budget Allocation to display: Abbott Laboratories Award Period 1](image)

**Warning:** Using the “import ($)” and “Clear” buttons updates the Budget Reconciliation and Personnel Effort pages.

3. In the Import Budget window, select the applicable period and click OK.
4. On the Budget Reconciliation page, the amounts from the proposal budget populate the Award Budget Categories column. Notice the same amounts appear at first under the Active Allocation Total column; these will update as you enter adjustments to the original budget amounts.
5. The next step is to reconcile the budget by entering positive and/or negative values in the Adjustments columns.

**Tips:**
- Use the Undo All Changes button to restore the values this page displayed the last time it was saved.
- Use the Clear button to clear all amounts from the budget categories list.

In this example, the PI has informed you they can reduce costs by $10,000 by not attending two conferences and can cut another $7,000 from Other Expenses.

Note the current amounts in the Active Allocation Total column for Travel ($25,000), Facilities and Administration ($92,365), Total Reconciled ($315,865), and the Difference ($-37,865).
6. The following adjustments are made:

   a. In this example, -$17,000 is entered in the Adjustments column for Travel, which adjusted the following:

      i. On the Travel row, the Active Allocation amount is $17,000 less than the baseline figure.

      ii. On the Facilities and Administration row, an adjustment of -$8,330 is displayed.

      iii. The Total Reconciled Amount was reduced by $25,330 ($315,865 - $290,535), which is the total of the direct (-$17,000) and indirect (-$8,330) cost adjustments.
a. Next we will cut Other Expenses by $5,000. Along with the associated F&A adjustment, this brings the Difference down to -$5,085.

a. Finally, we will cut the Equipment by -$5,085.

b. The Total Sponsor Awarded amount now matches the Total Reconciled amount, so the
7. When complete on this page, click Continue.

6.2. Budget Reconciliation Examples Using the Non-Import Approach

This section uses the non-import approach to demonstrate how to manually reconcile the budget by simply typing in the budget amounts in the Adjustments column. This approach is helpful if the amount released in the Notice of Award will require so many changes that it is just simpler to enter the new budget amounts directly.

With this approach, enter positive amounts in the Adjustments column that reduce the Difference value in the header to zero.
Additional Tasks

The following subsections describe how to complete additional tasks that may be necessary as the award progresses through the workflow.

7. How to Upload Award Documents

Award documents should be uploaded within the Award SmartForm or by using the Upload Award Documents activity. This includes any official award documents including documents associated with an award modification. When documents are uploaded in either of these locations, they display on the Attachments tab on the Award Workspace.

Follow the steps below to upload documents using the Upload Award Documents activity:

1. On the Award Workspace, click the Upload Award Documents activity.
2. In the Upload Award Documents window, click the Add button
3. In the Submit Document window, drag and drop or search for the file and click OK.

4. The new document displays in the list. Click OK.

5. When returned to the Award Workspace, click the Attachments tab to display the award documents.

7.1. How to Request An Award Modification

Over the course of a research project, changes to an award become necessary, such as budget adjustments, authorizing spending for the next budget period, or changing the award personnel. These changes are managed using award modifications.

The award modification request provides a way for users with access to the Award to request changes within the system. This creates a searchable history of all modification requests in one place.

The award modification request is a simple SmartForm that collects a request title, a date, a description of the change, and supporting documents. Once completed, the requestor submits the award modification request to the assigned specialist for review. The specialist can then decline the request, return it to the requestor for clarifications, or approve it.

Notes:

- Award modification requests and award modifications are listed under the Modifications tab on the Award Workspace.
- Award modification requests and award modifications are two separate records with different states. Please reference the “Award Modification Request and Award Modification Workflows” section for additional information.

Award Modification Requests and Award Modifications are separate records with different states. The Award Modification Request is an action for the departments. The Award Modification is a function of the Central Office to process the Modification Request. View the Award Modification Guide for a description of the award modification types and required documentation.
Follow the steps below to request an award modification:

1. On the Award Workspace, click the Request Award Modification button.

2. Complete the following questions on the Award Modification SmartForm page. When complete, click the Finish button.
   a. 1. Short title – Enter a short title for the modification. Use the following naming convention [Award YR and/or Allocation Impacted] [Action:NCE] [Insert deadline]. For example: Year 4: NCE_06/01/20.
   b. 2. Date requested – This field automatically populates with today’s date.
   c. 3. Full description of requested changes – Enter a description of the award changes being requested.
   d. 4. Supporting documents – Upload supporting documents, when applicable.
   e. 5. Specialist – Indicates the assigned specialist in the Office of Research Administration.

3. After clicking the Finish button, the system returns you to the Award Modification Request Workspace. If additional updates are necessary, use the Edit Modification Request button. Otherwise, click the Submit to Specialist activity.

4. In the Submit to Specialist window, add any applicable comments and click OK.

5. The system updates the Award Modification Request to the “Review” state and sends an email notification to the assigned Specialist.

7.2. How to Complete Department Edits For an Award Modification

Depending on the award modification type, the Specialist in the Office of Research Administration (ORA) may need the department to complete information on the Award Modification SmartForm.

When the award modification is created, it is in the “Draft” state. There is no system workflow between the department and ORA, therefore if the Specialist in ORA needs the department to complete information on the Award Modification, they will notify the department using the “Send Email” activity.

When the department has completed their updates, use the “Send Email” activity to notify the Specialist.

For reference, below is the workflow of an Award Modification by State:

To view a screen shot of the “Award Modification Request” workflow, please refer to 12.3.1.
8. How to Manage Deliverables

Deliverables are entered in the system by the Office of Research Administration during award setup, however the research community is responsible for managing and completing the deliverables in the system. The research community may also setup their own deliverables for tracking purposes.

A reminder email notification is sent to the “Responsible Party” and all other staff selected to receive notifications when the deliverable due date is 60 days and 30 days out. Email notifications are not sent once the due date has passed.

A list of deliverables is displayed on the Deliverables tab of the Award Workspace.

⚠️ Important: You must be associated to the individual deliverable as either the “Responsible Party” or as “Additional staff receiving deliverable notifications” in order for the “Complete” button to display in the Manage Deliverables window, which allows you to compete the deliverable.

If you are an Award Editor that needs to complete a deliverable, but you do not see the “Complete” button (because you are not associated with the deliverable), use the Manage Deliverables activity to associate yourself to the deliverable. Once the update is made, the “Complete” button is displayed.

In the example below, Joe Bloggs is an editor on the award, but is not associated with the “Ad Hoc Progress Report” deliverable, therefore the “Complete” button is not available. In order for Joe to complete this deliverable, he needs to use the Manage Deliverables activity to associate himself with the deliverable by adding his name to Question 7. “Additional staff receiving deliverable notifications”. After clicking OK, the “Complete” button will display in the Manage Deliverables window.

8.1. How to Add a Deliverable

Follow the steps below to add a deliverable:

1. On the Award Workspace, click the Manage Deliverables activity.
2. In the Manage Deliverables window, click the Add button.

![Manage Deliverables Window]

3. In the Add Deliverable window, complete the fields as noted below. When complete, click OK.
   a. **Name** – Enter a short, descriptive name for the deliverable
   b. **Deliverable description** – Describe the action or work requirement necessary to complete this deliverable.
   c. **Set number of occurrences** – Indicate the number of times the deliverable action or task should occur.
   d. **Frequency** – Indicate how often the deliverable should occur based on the setup number of occurrences indicated.
   e. **Due Date** – Date the deliverable is due.
   f. **Responsible party** – Select the primary person responsible for completing this deliverable.

   **Note:** Award editors must be associated with a deliverable, either as the “Responsible Party” or as “Additional staff receiving deliverable notifications”, in order to complete the deliverable in the system.

4. Add additional deliverables as needed. When complete, click OK.
5. To review the deliverables, click on the “Deliverables” tab of the Award Workspace.

![Deliverables Tab]

8.1.2. How to Edit and Complete A Deliverable

Follow the steps below to edit and/or complete a deliverable:

1. On the Award Workspace, click the Manage Deliverables activity.
2. In the *Manage Deliverables* window, click the **Name** of the deliverable to edit it.

![Manage Deliverables](image)

- In the *Edit Deliverable* window, you can update the status to “In Progress”.

![Edit Deliverable](image)
3. To complete the deliverable, click the **Complete** button.

**Important:** You must associate to the individual deliverable as either the “Responsible Party” or as “Additional staff receiving deliverable notifications” in order for the “Complete” button to display in the Manage Deliverables window, which allows you to compete the deliverable.

If you are an Award Editor that needs to complete a deliverable, but you do not see the “Complete” button (because you are not associated with the deliverable), use the **Manage Deliverables** activity to associate yourself to the deliverable. Once the update is made, the “Complete” button is displayed.

4. In the **Complete Deliverable** window, update the fields and click **OK**.

5. When returned to the Manage deliverables window, the Status is updated, and the Completion Date displayed. When complete, click **OK**.
6. Deliverable information can be reviewed on the **Deliverables** tab of the **Award Workspace**.

9. **How to Manage Pre-Proposal**

A pre-proposal, or letter of intent, is submitted into the system in the same way as a proposal.

10. **How to Manage Follow-On Proposal Types**

The following types of follow on proposals can be created:

- **Continuation** – Used to record that UCF filled out a RPPR (Research Program Progress Report) on the eRA Commons website.
- **Renewal** – Create a renewal for a proposal in the “Awarded” state.
- **Revision** – Create a supplement for a proposal in the “Awarded” state.
- **Resubmission** – Create a resubmission from a proposal in the “Not Funded” or “Withdrawn” states. Note that these states occur only after the proposal has been in the “Pending Sponsor Review” state.

The subsections below describe how to create each of these follow on proposal types.

10.1. **How to Create a Noncompeting Continuation Proposal from An Active Award**

A noncompeting continuation proposal records that UM filled out a RPPR (Research Program Progress Report) on the eRA Commons website. It follows the same workflow as the proposal, but is linked to an active award.

For National Institutes of Health (NIH), a noncompeting continuation proposal is a request or award for a subsequent budget period within a previously approved project for which a recipient does not have to compete with other applications.
Note: Noncompeting Continuation proposal IDs are amended with “Con” and the number of the continuation.

Gra

nts Use

r Guide

February 2023

page 56

1. The Continuation Proposal SmartForm displays. The Title of the award has been amended with “Continuation”, however the name can be modified.

2. Supply the progress report information requested on each page and click Continue. Attach the Final Draft of the RPPR. On the final page, click Finish.

3. On the Proposal Workspace, click the Submit for Department Review activity and click OK.

10.1.2. How to Create a Renewal Proposal

A renewal is the initial request for additional funding for a period subsequent to that provided by a current award. Renewal applications compete for funding with all other peer reviewed applications and must be developed as fully as though the applicant is applying for the first time. (Previously referred to as “competing continuation.”)

Follow the steps below to create a renewal proposal:

1. On the Proposal Workspace of a proposal in the “Awarded” state, click the Create Renewal button.

2. The Proposal SmartForm displays. Notice Question 1. “Type of application” indicates a type of “Renewal”.

3. Update the questions as necessary and use the Continue button to navigate through the SmartForm. On the last page click the Finish button.

4. When returned to the Proposal Workspace, note the state is “Draft” and the proposal type is indicated as “Renewal”.

5. Complete the Budget and any other necessary activities and/or tasks.

6. When the submission is complete, click the Submit for Department Review activity.

7. The renewal proposal follows the same workflow as the primary proposal.

10.1.3. How To Create A Competing Revision To A Proposal

A Competing Revision is the initial request for (or the award of) additional funds during a current project period to support new or additional activities that are not identified in the current award. This request reflects an expansion of the scope of the grant-approved activities.

Follow the steps below to create a competing revision to a proposal:

1. On the Proposal Workspace of a proposal in the “Awarded” state, click the Create Revision activity.

2. In the Create Revision window, enter the Competing Revision name and click OK.

3. The Proposal SmartForm displays. Notice the ID has been amended with “Rev” and the number of the revision.

4. Update the questions as necessary and use the Continue button to navigate through the SmartForm. On the last page click the Finish button.
5. When returned to the *Proposal Workspace*, note the state is “Draft” and the proposal type is indicated as “Revision”.

6. Complete the Budget and any other necessary activities and/or tasks.

7. When the submission is complete, click the *Submit for Department Review* activity.

8. The renewal proposal follows the same workflow as the primary proposal.

10.1.4. *How Create A Resubmission Proposal*

A resubmission is an unfunded application that has been modified following initial review and resubmitted for new consideration.

Follow the steps below to create a resubmission from a proposal in the “Not Funded” state. Note that these states occur only after the proposal has been in the “Pending Sponsor Review” state.

*Note: If the proposal is not in the Not Funded state, use the PI may use the activity Notify SPO of Grant Status and notify them of the state. The proposal team may use the Send Email activity and notify the specialist of the status. Once the Funding Proposal is in the Not Funded state, the Resubmission proposal can be created.*

11. *How to Create an Agreement from a Proposal*

Agreement records in IBISResearch can be created from Proposal records in the system. When this occurs, the records are automatically linked and reflected on the *Related Projects* tab.

Follow the steps below to create an agreement from a Proposal or Award:

1. On the *Proposal or Award Workspace*, click the *Create Agreement* activity.

2. In the *Create Agreement* window, select the *Agreement Type* and click *OK*.

*Important: At this point, the agreement record has only been created. Continue through the additional steps below to complete the Agreements SmartForm and submit it to the Office of Research Administration within the IBISResearch system.*

3. When returned to the *Workspace*, click on the *Related Projects* tab.

4. Click the **ID** link to navigate to the *Agreement Workspace* within the IBISResearch Agreements module.

5. Complete the Agreements SmartForm and note the following:
   a. *Agreement Upload page* – Complete the questions and note the following points. Click *Continue* when finished.
      - 1. *Agreement Manager/Principal Investigator* – Enter or search for the PI’s name.
      - 2. *Agreement Creator* – This field is automatically populated with the person who created the agreement.
      - 3. *Upload agreement draft* – Upload a draft of the agreement document or use the *Institution to generate first draft?* checkbox if applicable.
4. **Title or internal reference number** – Click the help link for guidance on how to name the agreement record.

5. **Agreement type** – Select the agreement type.

b. **General Information page** – Complete the questions and note the following points. Click **Continue** when finished.
   - **1. Select an organization** – Enter or select the external party associated with this agreement.
   - **For Questions 2 – 4**, enter the contact information, if available.
   - **5. Agreement collaborators** – Add any UM team members or leadership that may need read/edit access for the Agreement (e.g. Department Administrators).
   - **6. Responsible Department** – Select the UM organizational unit responsible for this agreement, which may or may not be the same as the PI’s home department. Please ensure that the responsible department is correctly selected.

c. Additional pages – Additional pages may display based on the agreement type selected. Complete the questions as necessary and click **Continue**.

   a. **Completion Instructions page** – Read the directions for the next steps. When ready, click **Finish** to complete the SmartForm. The **Agreements Workspace** now displays.

   - Clicking **Finish** moves your agreement into the “Pre-Submission” state, but does **not** submit your agreement to the ORA. This allows for additional edits and/or actions to occur prior to the agreement submission (e.g. editing the agreement, adding Ancillary Reviews, etc.).

6. On the **Agreements Workspace**, click the **Submit** button to submit your agreement to the Office of Research Administration. Once your agreement has been submitted, the status updates to “Unassigned.”

   **Important:** Agreements remain editable to you while in the Pre-Submission and Unassigned states. After the agreement has been moved to the In Review state (which indicates an Owner has been assigned), you will have view only access to the agreement.
12. Appendix

12.1 Understanding the Workflows

The diagrams below illustrate the workflows of Proposal, Award, Award Modification Requests, and Award Modification records.

Below is the workflow of a Proposal by State:
12.2. System-to-System Submissions through Grants.gov Workflow
12.3. Award Workflow

Below is the workflow of an Award by State:
12.3.1. Award Modification Request and Award Modification Workflows

Below is the workflow of an Award Modification Request by State:

Below is the workflow of an Award Modification by State:
13. Understanding Email Notifications

Many activities and state transitions within the workflows trigger email notifications. The subsections below identify when email notifications for proposals, awards, award modification requests, award modifications, and subawards.

⚠️ **Important:** Email notifications will only be sent to UM email addresses only.

### 13.1. Proposal Email Notifications

<table>
<thead>
<tr>
<th>Trigger</th>
<th>Sent To</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manage Ancillary Review activity</td>
<td>Assigned Ancillary reviewers</td>
</tr>
<tr>
<td>Send Email activity</td>
<td>Recipients selected in the activity</td>
</tr>
<tr>
<td>State transition from “Department Review” to “Department Review:</td>
<td>PI, Administrative Contact</td>
</tr>
<tr>
<td>Response Pending from PI”</td>
<td></td>
</tr>
<tr>
<td>State transition from “Final SPO Review” to “Pending Sponsor Review”</td>
<td>PI, Administrative Contact</td>
</tr>
<tr>
<td>(with or without a SF424 submission)</td>
<td></td>
</tr>
<tr>
<td>State transition to “JIT Response Required”</td>
<td>PI, Administrative Contact</td>
</tr>
<tr>
<td>State transition from “Draft” to “Department Review”</td>
<td>Department Reviewers</td>
</tr>
<tr>
<td>State transition to “Not Submitted”</td>
<td>PI, Administrative Contact</td>
</tr>
<tr>
<td>State transition from “Specialist Review” to “Specialist Review:</td>
<td>PI, Administrative Contact</td>
</tr>
<tr>
<td>Pending Changes by PI”</td>
<td></td>
</tr>
<tr>
<td>State transition from “Department Review: Response Pending from PI”</td>
<td>Department Reviewers</td>
</tr>
<tr>
<td>to “Department Review”</td>
<td></td>
</tr>
<tr>
<td>Award Letter Received activity</td>
<td>Assigned Specialist, proposal editors,</td>
</tr>
<tr>
<td>proposal readers</td>
<td></td>
</tr>
<tr>
<td>Notify SPO of Grant Status activity</td>
<td>Assigned Specialist</td>
</tr>
</tbody>
</table>
## 13.2. Award Email Notifications

<table>
<thead>
<tr>
<th>Trigger</th>
<th>Sent To</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manage Ancillary Reviews</td>
<td>Assigned Ancillary Reviewers</td>
</tr>
<tr>
<td>Send Email activity</td>
<td>Recipients selected in activity window</td>
</tr>
<tr>
<td>30 Day Reminder</td>
<td>Deliverables owner, responsible party, and any other staff selected to receive notifications</td>
</tr>
<tr>
<td>60 Day Reminder</td>
<td>Deliverables owner, responsible party, and any other staff selected to receive notifications</td>
</tr>
<tr>
<td>Activate activity (when Award is activated)</td>
<td>Assigned Specialist, PI, Administrative Contact</td>
</tr>
<tr>
<td>Activate activity (when Award has an Advance Account)</td>
<td>Assigned Specialist, PI, Administrative Contact</td>
</tr>
<tr>
<td>Assign Award Approver activity</td>
<td>Award Approver</td>
</tr>
<tr>
<td>State transition from &quot;Draft&quot; to &quot;Department Edit&quot;</td>
<td>Award Editors, Assigned Specialist</td>
</tr>
</tbody>
</table>
13.3. Award Modification Request Email Notifications

<table>
<thead>
<tr>
<th>Trigger</th>
<th>Sent To</th>
</tr>
</thead>
<tbody>
<tr>
<td>Approve activity</td>
<td>Submitter of the award modification request</td>
</tr>
<tr>
<td>Request Clarifications activity</td>
<td>Submitter of the award modification request</td>
</tr>
<tr>
<td>Submit Clarifications activity</td>
<td>Assigned Specialist</td>
</tr>
<tr>
<td>Decline activity</td>
<td>Submitter of the award modification request</td>
</tr>
<tr>
<td>Assign Specialist activity</td>
<td>Assigned Specialist</td>
</tr>
<tr>
<td>Submit to Specialist activity</td>
<td>Assigned Specialist</td>
</tr>
<tr>
<td>Assign Submitter activity</td>
<td>Submitter of the award modification request</td>
</tr>
<tr>
<td>Withdraw</td>
<td>Assigned Specialist</td>
</tr>
</tbody>
</table>

13.3.1. Award Modification Email Notifications

<table>
<thead>
<tr>
<th>Trigger</th>
<th>Sent To</th>
</tr>
</thead>
<tbody>
<tr>
<td>Manage Ancillary Reviews activity</td>
<td>Assigned ancillary reviewers</td>
</tr>
<tr>
<td>Approve activity</td>
<td>PI, Assigned Specialist, Administrative Contact</td>
</tr>
<tr>
<td>Assign Award Approver activity</td>
<td>Assigned Award Approver</td>
</tr>
<tr>
<td>Request Changes activity (initiated by Designated Reviewer)</td>
<td>Assigned Specialist</td>
</tr>
<tr>
<td>Request Changes activity (initiated by Award Approver)</td>
<td>Assigned Specialist</td>
</tr>
<tr>
<td>Request Designated Review activity</td>
<td>Assigned Specialist</td>
</tr>
<tr>
<td>Submit Changes activity (for designated review)</td>
<td>Assigned Designated Reviewer</td>
</tr>
</tbody>
</table>
13.4. Subaward Email Notifications

<table>
<thead>
<tr>
<th>Trigger</th>
<th>Sent To</th>
</tr>
</thead>
<tbody>
<tr>
<td>Send Fully Executed Notification</td>
<td>Recipients selected on the Personnel page of the Subaward SmartForm</td>
</tr>
</tbody>
</table>